




06-18-03

Dept Ref
307

 30623 PATENT TRADEMARK OFFICE	Express Mail Label No. EL948454795US Date of Deposit: June 17, 2003
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Reg for (Small)
Entry
7/17/03

Attorney Docket No. 07473-032

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Lawrence M. Sherman
Serial No: 09/780,266
Filed: February 9, 2001
For: SYSTEM AND METHOD FOR PROVIDING ADDITIONAL INSURANCE

Examiner: Unassigned
Art Unit: 2161

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

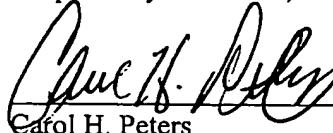
TRANSMITTAL LETTER

Sir:

Enclosed herewith for filing in the above-identified patent application are the following items.

1. Request for Refund;
2. Copy of Request for Filing New Patent Application under 37 C.F.R. § 1.53(b);
3. Copy of Transmittal Letter responding to Notice to File Missing Parts;
4. Copy of Filing Receipt; and
5. Return receipt postcard.

Respectfully submitted,



Carol H. Peters

Registration No. 45,010
Mintz, Levin, Cohn, Ferris,
Glovsky and Popeo, P.C.
One Financial Center
Boston, MA 02111
Telephone 617/348-4914
Attorneys for Applicant

Date: June 17, 2003



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REQUEST FOR REFUND

Sir:

On February 9, 2001, Applicant's attorneys submitted the above-captioned patent application and a check in the amount of \$710.00 to cover the filing fee. Enclosed is a copy of the Request for Filing New Patent Application under 37 C.F.R. § 1.53(b). On May 11, 2001, Applicant's attorneys submitted a check in the amount of \$130.00 to cover the surcharge for the missing parts. Enclosed is a copy of the transmittal letter in response to the Notice to File Missing Parts. Also enclosed is a copy of the Filing Receipt indicating the total payment in the amount of \$840.00. It has come to the attention of applicant's attorneys that the applicant is a small entity. Therefore, applicant respectfully requests a refund of the overpayment in the amount of \$420.00 by credit to Deposit Account No. 50-0311, referencing Attorney Docket No. 07473-032.

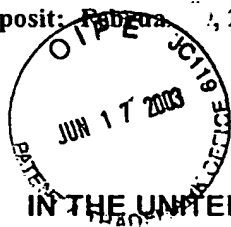
Respectfully submitted,

Carol H. Peters

Registration No. 45,010
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One Financial Center
Boston, MA 02111
Telephone 617/348-4914
Attorneys for Applicant

Date: June 17, 2003

Express Mail No. EF5 27377US
Date of Deposit: February 9, 2001



PATENT APPLICATION
Attorney Docket No. 07473-032

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Lawrence M. Sherman

COPY

February 9, 2001
Boston, Massachusetts

Box PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

**NEW NONPROVISIONAL APPLICATION
PURSUANT TO 37 C.F.R. 1.53(b)**

This application claims priority under 35 U.S.C. §119(e) to United States provisional patent application serial No. 60/181,653, filed on February 10, 2000, incorporated herein by reference.

1. This is a request for filing a new nonprovisional application under 37 C.F.R. 1.53(b) entitled

**SYSTEM AND METHOD FOR
PROVIDING ADDITIONAL INSURANCE**

2. ☒ Specification(18 pages); Claims (1 page); Abstract (1 page)
3. ☒ Drawings - Number of Sheets Five (5) (Figs. 1-5)
☐ Formal
☒ Informal
4. ☐ Declaration and Power of Attorney
☒ Unsigned
☐ Signed
5. ☐ Information Disclosure Statement (IDS)
☐ Copy of IDS and PTO-1449 (X pages)
☐ Copies of references cited
6. ☐ Assignment Papers
☐ Recordation Form Cover Sheet (PTO-1595)
☐ Assignment Document

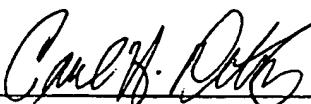
Applicant(s): Lawrence M. Sherman

7. Fee Calculation

CLAIMS AS FILED					
Claims	Number Filed	Basic Fee Allowance	Number Extra	Rate	Basic Fee 37 C.F.R. 1.16(a) \$710.00
Total Claims (37 C.F.R. 1.16(c))	1	- 20 =	0	\$ 18.00	0.00
Independent Claims (37 C.F.R. 1.16(b))	1	- 3 =	0	\$ 78.00	.00
Multiple Dependent Claim(s), if any (37 C.F.R. 1.16(d))	0		8	\$260.00	.00
Reduction by 50% for filing by small entity:					<u>-\$</u>
TOTAL FEE					\$ 710.00

8. ☐ Statement Claiming Small Entity Status
- ☐ Claiming Small Entity as Independent Inventor (37 C.F.R. §1.9(f) & 1.27(b)).
- ☐ Claiming Small Entity as Small Business Concern (37 C.F.R. §1.9(f) & .27(c)).
- ☐ Claiming Small Entity as Nonprofit Organization (37 C.F.R. §1.9(f) & .27(d)).
9. ☒ A check in the amount of \$710.00 is enclosed.
10. ☒ The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 50-0311, Ref. 07473-032
- ☒ Fees required under (37 C.F.R. §1.16).
- ☒ Fees required under (37 C.F.R. §1.17).
- ☒ Fees required under (37 C.F.R. §1.18).
11. ☒ Return Receipt Postcard Enclosed.

Respectfully submitted,


Carol H. Peters
Registration No. 45,010
Attorneys for Applicants
MINTZ, LEVIN, COHN, FERRIS,
GLOVSKY and POPEO, P.C.
One Financial Center
Boston, Massachusetts 02111
Tel: (617) 348-4914

Date: February 9, 2001

TRADOCS:1435527.1(%RNR01!.DOC)



UNITED STATES PATENT AND TRADEMARK OFFICE

C Peters
 COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
 www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/780,266	02/09/2001	2161	840	07473-032	5	1	1

CONFIRMATION NO. 6278

UPDATED FILING RECEIPT



OC00000006119771

COPY

Date Mailed: 05/25/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Lawrence M. Sherman, Westport, CT;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/181,653 02/10/2000

Foreign Applications

If Required, Foreign Filing License Granted 03/15/2001

Projected Publication Date: 08/15/2002

Non-Publication Request: No

Early Publication Request: No

Title

System and method for providing additional insurance

Preliminary Class

<input type="checkbox"/> Data Entry	Done By
<input type="checkbox"/> Docket Entry	
<input type="checkbox"/> Docket Cross Off	
<input type="checkbox"/> Previously Entered	
<input checked="" type="checkbox"/> No Docketing Req	<i>JP</i>
<input type="checkbox"/> ELITE	
<input type="checkbox"/> Annuities	

RECEIVED

JUN 01 2001

MINTZ LEVIN, BOSTON
PATENT DOCKET DEPT.